AN ANALYSIS OF THE LOS ANGELES COUNTY STRATEGIC PLANNING PROCESS

JULY 2009

CITIZENS' ECONOMY & EFFICIENCY COMMISSION
LOS ANGELES COUNTY
Est. 1964

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The mission of the Commission is to examine any function of County government at the request of the Board of Supervisors, on its own initiative, or as suggested by others, and to submit recommendations to the Board which will improve local government economy, efficiency, and effectiveness.

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Executive Director
Edward Eng

June 4, 2009

The Honorable Supervisor Don Knabe
Chairman of the Board
Supervisor, Fourth District
Kenneth Hahn Hall of Administration
500 West Temple Street, Suite 822
Los Angeles, CA 90012

Dear Supervisor Knabe:

As directed by your Board, the Citizens' Economy and Efficiency Commission (Commission) is pleased to report that it has completed its assessment of Los Angeles County's strategic planning process, as endorsed by the Board in a joint motion by you and Supervisor Yaroslavsky on February 3, 2009.

Based on our findings, the Commission concluded the strategic planning process has proven to be valuable and determined that the County has made solid year one progress including significantly stronger commitment to collaboration.

To ensure continued progress, the Commission recommends the Board consider implementing the following six recommendations in an effort to further promote the success of strategic planning across the County of Los Angeles:

Recommendation 1: That the Board consider directing the CEO to augment the current Strategic Plan to identify key strategic priorities.

Recommendation 2: That the Board consider establishing a structure in conjunction with the CEO for providing early Board Office input into the strategy formulation process.

Recommendation 3: That the Board consider directing the CEO to work with the Board Offices to establish a format for linking strategy formulation, MAPP goal setting, and budget determination.

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Recommendation 4: That the Board consider directing the CEO to establish methods of effectively measuring and reporting on Strategic Plan performance outcomes.

Recommendation 5: That the Board consider directing the CEO to institute a process through which Departments share best practices.

Recommendation 6: That the Board consider directing the CEO to review the effect of the centralized County Strategic Plan on Departmental level strategic planning.

The Economy and Efficiency Commission is pleased to have had the opportunity to present this report to your Board and stands ready to assist your Board in the implementation of these recommendations.

With Warmest Regards,

Isaac Diaz Barcelona
Chairman

C: Los Angeles County Board of Supervisors
Chiefs of Staff, Board Offices
CEO
Chief Deputy CEO
Deputy CEOs
Department Heads
Economy and Efficiency Commissioners

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I. PREFACE

Strategic planning is an orderly process for envisioning an organization's desired future and determining the required actions to attain that future. It seeks to answer such questions as, *What is our mission? What are our assumptions about the future? What are our priorities and how should we allocate resources among different units? How can we integrate and/or more effectively coordinate the services that we provide?* By answering these questions (and many others) strategic planning helps an organization focus on and potentially create a desired future.

Since the late 1980's, strategic planning has been recognized as a key management technique for assisting public sector organizations in the adoption of systematic plans to guide their overall direction, resource allocation decisions, and operating structures and practices. There is widespread agreement among academics and public and private sector leaders that strategic planning can enhance effectiveness by setting organizational priorities, improving decision making, and creating a common vision among employees.

II. BACKGROUND

On May 14, 1996, the Los Angeles Board of Supervisors (Board) approved Supervisor Antonovich's motion to develop a County-wide Strategic Plan, along with an initial set of performance measures, to reflect County-wide goals for the next three to five years.[1] As stated by Supervisor Antonovich during the Board's discussion of the motion, "A Strategic Plan is the single most important management tool at this time for identifying future priorities and determining needed resource allocations."

Under the guidance of the Chief Administrative Officer (CAO), the process of developing a Strategic Plan culminated in 2000 with the adoption of the County's first Strategic Plan. The plan consisted of an overarching vision statement and set of organizational values, four organizational goals, and one programmatic goal. During the next year, the Board approved the addition of three more programmatic goals. Oversight of the strategic planning process, including annual updates and review of implementation activities, was assumed by the Guiding Coalition, which was formed and chaired by the CAO and comprised of the Chief Deputy CAO, volunteer Department Heads, and the Chiefs of Staff for the Board Offices. Other Department Heads provided regular input into the process.

Within this framework, individual Departments developed their own Strategic Plans and, as appropriate, established linkages to the County plan. Departments maintained considerable independence in the development of their plans, given the County's then decentralized, department-centric governance model. This system of oversight of the County's strategic planning process continued from 2000 until 2007, when the County adopted a new governance structure.

In 2007, the Board approved Ordinance No, 2007-0048, changing Los Angeles County's governance structure to a strong Chief Executive Officer (CEO) model.[2] Under this

[1] See Board of Supervisors Meeting Minutes, Synopsis 58, May 14, 1996.
[2] Ordinance No.2007-0048 was introduced on March 1, 2007 and approved on March 27, 2007.

model, the CEO gained significant day-to-day administrative and operational authority with most Department Heads reporting directly to the CEO. The 37 Departments of the County were organized into five Clusters (See Appendix 1a for County Departmental Clusters) with a Deputy Chief Executive Officer (DCEO) responsible for each Cluster.

In January 2008, the CEO initiated a new process to update the existing Strategic Plan. The new Strategic Plan retained the existing Vision and Mission statements, included updates to the County Values, and restructured the Plan from eight goals to five Cluster goals. It was approved by the Board on March 3, 2009.[3]

The Commission Charge

Since the adoption of the County's first Strategic Plan in 2000, there has been no independent assessment of the strategy formulation and implementation processes, or the overall impact of each on County operations. With the establishment of the new governance structure in 2007 and the development of a new Strategic Plan in 2008, the Citizens' Economy and Efficiency Commission (Commission) created a Task Force to analyze the strategic planning process. This analysis focused on the development and implementation of the current Strategic Plan; no attempt was made to review the content of the County's Strategic Plan.

The strategic planning assessment was endorsed by the Board on February 3, 2009 in a motion by Supervisors Knabe and Yaroslavsky. The Commission was directed to conduct an "overall assessment of the County's strategic planning process to gauge the impacts of strategic planning efforts and the alignment between the County's overall Strategic Plan and individual Department Strategic Plans." [4]

III. DATA COLLECTION DESIGN

While all strategic planning approaches utilize many of the same elements, it is important to understand that there is no *universal* strategic planning approach adaptable to every organization. Rather, the process and outcomes must be designed to meet the unique characteristics of each organization's external and internal operating environments.

To provide a comprehensive analysis and clear understanding of the County' s approach to strategic planning, the Commission's Task Force collected data from a wide range of sources:

A. Strategic Plan Review: The 2009 County Strategic Plan (both draft and approved versions) and 23 Department Strategic Plans were reviewed to compare approaches and to help structure some of the interview questions.

B. Departmental Survey: A Department survey was conducted by written questionnaire of Department Heads to ascertain the approach, current status, and outcome of individual Department strategic planning efforts. [5]

[3] The approved Strategic Plan can be accessed at http://ceo.lacounty.gov/
[4] See Board Agenda, Item 5, February 3, 2009.
[5] See Appendix 1b for interview protocol.

C. Personal Interview: Personal interviews were held with thirty-seven out of thirty-eight Department Heads; all five DCEOs; the CEO and Chief Deputy CEO; and four of five Board Chief Deputies and/or Senior Deputies [6] to assess the strategy formulation and implementation processes and linkages to related management practices, such as budget allocations, performance measurement, and Management Appraisal Performance Plans (MAPP), as well as any best practices that could be shared with other Departments. [7]

To encourage candid responses in the interview process, the Task Force assured all interviewees that their comments would not be attributed to them individually, although their remarks might be used anonymously for illustrative purposes. Standard qualitative research methods were used to interpret the data.

D. On-Line Questionnaire: At the Commission's request, the County's Learning Academy conducted an on-line survey of executive and management staff, supervisors, professionals and other non-represented employees to determine their awareness of the County Strategic Plan and the impact of both the County's and their Department's Strategic Plans on their work activities. Out of 11,353 employees surveyed, 1,737 responses were received. [8]

Context Setting

In conducting this study, the Task Force recognized that the County framework for strategic planning had changed considerably from the first strategic planning effort in 2000 to the present. As stated by DCEO Ellen Sandt during the presentation of the Strategic Plan to the Board on March 3, 2009, "The governance structure happened between now and the last time there was a Strategic Plan."

Internally, the shift from a Department-centric to a strong CEO governance model necessitated a more centralized approach to strategy formulation. Concurrently, the external environment became increasingly turbulent, as the Country entered a period of severe recession which brought a period of increasingly tight budgetary constraints and expanded demands for services. Given these changes, the assessment did not compare the initial approach to strategic planning with the current process. The recently approved Strategic Plan represents the County's first approach to planning under the new management model.

IV. FINDINGS

A. The County Strategic Plan

The CEO's Office adopted a relatively high-involvement internal process for the development of the new Strategic Plan. This included both a series of executive Strategic Planning Conferences and extensive Cluster discussions that enabled

[6] Supervisor Ridley-Thomas, 2nd District, took office on December 1, 2008. The Commission Task Force briefed the Supervisor's staff on the assessment; they did not participate in the process.
[7] See Appendix 1c-1f for interview protocols.
[8] See Appendix 1g for Employee Online Survey.

Department Heads and CEO executives to share perceptions regarding their respective service area environments and jointly explore potential strategic issues for inclusion in the Strategic Plan.

1. **The Commission found that the strategic planning process strengthened cohesiveness and collaboration among Department Heads.**

   1.1. The CEO stated that he relied upon the strategic planning process to generate "a greater sense of teamwork" among Department Heads, and "it engendered a spirit of collaboration, a chance to sit and talk and work together." In contrast to the day-to-day Departmental and cluster-level demands on Department Heads, he believed that Countywide strategic planning provided that rare context in which all Department Heads can work together toward a specific goal.

   Department Heads confirmed that perception. Surveys indicated that nearly 75% of Department Heads felt the Countywide strategy formulation process had high or extremely high value for them. Interview comments reinforced this observation: "Planning is more coordinated now; We're working better as a team", noted one Department Head. Another stated that, "on the practical side, during plan development, the process of people coming together and talking is just as important as the document itself."

   1.2. Nearly all Department Heads felt positively about their opportunity to provide input for the plan. Comments ranged from, "I'm now at the table for front-end discussions as opposed to being an afterthought," to "We have been able to move toward similar goals," to "We feel respected and heard."

2. **The Commission found that the *Department Clusters* have emerged as the fulcrum for strategic planning formulation and implementation.**

   2.1. The CEO and several Department Heads saw the emerging centrality of Clusters as a natural step in the evolution of the governance process. Again, Department Heads were most vocal, offering responses such as, "Clusters have been a great help since Departments within the Cluster share the same constituents; a move in the right direction;" "Within Clusters, we're working great, very responsive; we're good at sharing resources;" and "Cluster approach is more beneficial and more manageable since it divides up the pie into smaller chunks of information; there is a greater flow of information and feedback within a Cluster."

   Nearly 66% of Department Heads recognized, however, that the County Strategic Plan was more a compendium of the five Cluster plans than a centralized County Plan. As summed up by a Department Head, "Clusters set their own goals instead of County overarching goals that each Department can link to."

   2.2. The planning process identified operational approaches that required improved integration. There was general agreement by the CEO, the DCEOs, and the Department Heads that the next major focus needed to be on integration across Clusters. Two comments by Department Heads recognize both the progress made and the challenge ahead: "There is more interdepartmental collaboration within Clusters than ever before, but downside barriers exist, including the lack of

inter-Cluster collaboration"; and "the Cluster system works well within Clusters, but problems remain across Clusters, especially for support Departments."

3. **The Commission found that the 2009 Strategic Plan requires identification of key Countywide priorities.**

3.1. The approved County Strategic Plan included five goal areas (one for each Cluster), 23 strategies (some with multiple sub strategies), and over 130 objectives, including many that appeared to be Department specific. The inclusion of so many strategies and objectives made it difficult to identify the plan's strategic priorities. One Department Head characterized the general view of many others by stating, "if everything is a priority, then nothing is a priority." Another Department Head stated, it's a good start, but now we need to separate the Tier 1 things-those that must be accomplished-versus the 500 other things the organization has to accomplish."

3.2. Approximately 33% of the Department Heads questioned whether the approved Strategic Plan was, in fact, strategic, often stating it more closely resembled a project management plan or business work plan. Two Department Heads commented that "we must define planning terminology, define a Strategic Plan versus a business plan. The way it is now, we have a hybrid, we don't know what it is"; another likened the County's Strategic Plan "to some form of a project management matrix." Notwithstanding these problems, several Department Heads stated that the current plan was indeed helping to resolve a number of operational issues.

4. **The Commission found that Board Offices believed they did not have adequate initial input into the development of the 2009 Strategic Plan.**

4.1. The Deputies in the four Board Offices interviewed for this assessment unanimously agreed that a disconnect existed between their Offices and the Strategic Plan formulation process, contending that this resulted in a lack of clear policy directions. One Deputy captured the sentiments of others by stating, "The Strategic Plan should be policy driven, it should come from the Board, but it clearly did not come from the Board." Another Deputy declared that "Not a lot of policy directives were reflected in the Strategic Plan."

4.2. In contrast, executive staff felt the Board Offices had been substantively involved at every step of the formulation process. One DCEO stated, "The Board Deputies were brought in at the right time, they had the opportunity to provide input early on," while another DCEO added that, "I was never able to receive concrete direction from the Board Offices, despite my frequent attempts."

4.3. Board Deputies, the CEO and DCEOs, and Department Heads generally agreed that there needed to be much greater clarification on how policy direction from the Board should drive strategic planning. Regardless of the different perspectives interviewees consistently commented that the structural and operational independence of each Board Office, combined with the different needs of their constituencies, complicate the challenge of achieving joint Board participation in the strategic planning process. As noted by one Board Deputy, "Each District has

needs and priorities that are different than other Board Districts; each Board District must be the driver of its own agenda."

B. Departmental Strategic Plans

Since 2000, Department-level strategic planning progressed as a highly decentralized process. Nearly all Departments completed at least one Strategic Plan. Each Department determined both its own approach to strategic planning and its alignment to the County Strategic Plan. Until now, there has been no attempt to assess the perceived impact and level of satisfaction.

1. **The Commission found that Department Heads believed the strategic planning process has been valuable, inclusive, and "drove" many Department activities.**

   1.1. Department Heads overwhelmingly expressed satisfaction with their investment in the strategic planning process. Of the 33 Department Heads who responded to the written Department Head survey, over 80% responded that strategic planning efforts were worth the time and effort spent on them.

   During interviews, Department Heads expanded on that theme, noting the intangible benefits derived from the team-building, shared understanding of mission and vision, and collective participation in setting goals.

   1.2. All Department Heads who responded to the survey indicated that that they used a high involvement strategic planning formulation and implementation process that included participation by executive staff, senior managers, and supervisors. Additionally, about 50% of these Department Heads replied that they also involved subordinate employees.

   Respondents to the on-line employee survey confirmed these observations. Overall, approximately 75% of respondents were familiar with their own Department's Strategic Plan, and 70% reported that it helped them understand how their job contributed to their Department's mission[9]. As stated by one executive respondent, "implementation is the cornerstone of the majority of our senior management meetings on a regular basis."

   1.3. The on-line employee survey underscored the impact of strategic planning on Department operations. Overall, approximately 56% saw the Department Strategic Plan being used for resource allocation decisions; 55% indicated that it provided substantive direction for their day-to-day activities, and 67% agreed that the Plan led to change and new initiatives.[10] As stated by one respondent, "people should be able to explain their jobs and how they relate to the plan."

[9] Please refer to Appendix 1h, for Employee Online Survey Results (Tables 1 and 2).
[10] Please refer to Appendix 1h for Employee Online Survey Results (Tables 3, 4, and 5).

2. **The Commission found that Departmental Strategic Plans were mostly drafted in relative isolation.**

2.1. The Departmental strategic planning process continued to function as an independent venture. Although all Department Heads reported that their Strategic Plan maintained some alignment with the new County Strategic Plan, there were no required formal reports and only tangential involvement by four of the five DCEOs. During interviews, DCEOs noted that they were not familiar with their Cluster Departments' Strategic Plans and did not use them to monitor or mange Departments.

2.2. Sixty-six percent of the respondents to the Department Head survey agreed that the CEO's Office had little or no involvement in their Departmental planning efforts. Similarly, over 80% of the Department Heads agreed that the Board Offices were not involved in the development of their Department Strategic Plan.

2.3. The only notable external involvement was at the non-County stakeholder level. Approximately 40% of the respondents to the Department Head survey indicated that they systematically involved their most important stakeholders in the process.

3. **The Commission found that several Departments have developed "best practices," but these were not widely shared throughout the County.**

3.1. During our assessment of strategic planning, the Commission discovered many Department "best practices" that could have applicability to other County Departments. Some examples include:

3.1.1. Change Management: Several Departments established Change Management Committees and Executive Planning Councils with responsibility for managing change and communicating progress to keep the plan visible to employees. One Department trained internal staff as facilitators to conduct strategic input sessions in the community.

3.1.2. Control Systems: Some Departments used on-line systems so employees can track their own strategic performance indicators and make adjustments while others used Microsoft CRM, STATS, and balanced scorecards to monitor and report project progress.

3.1.3. Communications: One Department used a Video Conferencing to discuss strategic issues and other related communications. Several Departments used weekly Town Hall meetings with different employee groups to discuss how changes under the Strategic Plan will affect work.

3.1.4. Planning Approaches: One Department developed a strategic formulation model that takes into account current environment, resources, and trends for making strategic choices. Another Department used a cross-mapping process to identify common as well as unique processes to Departments.

C. Pivotal Transitions

Many interviewees recognized that the adoption of a highly centralized strategic planning process necessitated both a rethinking and subsequent integration of internal support systems to help guide implementation.

1. **The Commission found that the CEO's *Cross Matrix* has emerged as a powerful tool for inter-Department coordination.**

   1.1. All Department Heads identified the Cross-Departmental Matrix developed by the CEO's Office as a great integration tool for increasing awareness of each others' goals and identifying needed collaboration across Departments. As one Department Head noted, "The CEO matrix has helped define how Departments need to interact. They have done a phenomenal job in creating the matrix to help with collaboration – we have come a long way and we are progressing." Another Department Head stated, "The CEO's matrix is outstanding; it is the first time in my career that I can see cross-departmental impacts."

2. **The Commission found that the MAPP process became the informal tool for linking Departmental strategic priorities to budget discussions.**

   2.1. The DCEOs stressed the need to link tightly MAPP, the County's Strategic Plan and the budget. A DCEO stated, for example, that "The County Strategic Plan should drive the MAPP process, as well as the Departments' Strategic Plans. There is no clear cycle right now; we need to build a cycle so the processes are more aligned." Another DCEO declared that, "The problem is the time lag; Department strategic planning and MAPP are ahead of the budget process. Strategic planning is done mainly through MAPP; without MAPP, there might not be any awareness at all."

   Approximately 66% of the Department Heads Department Heads concurred with one observing that "We desperately need synchronization of the strategic planning, budget, and MAPP process. We need to make it a regular part of the annual process. Now I have to constantly keep an eye on both things. They are not always connected." All Department Heads said that they often used their MAPP process to link their high priorities to budget discussions. One Department Head explicitly stated, "my MAPP goals are my Strategic Plan," while another added that "I start by taking the County's Strategic Plan elements that are important to my Department, then craft my MAPP goals."

3. **The Commission found that Departments would benefit if the Office of Strategic Planning and Special Projects offered in-house expertise in strategic planning.**

   3.1. There was a broad consensus among nearly all interviewees that the primary function currently of the Office of Strategic Planning and Special Projects is logistical, such as collecting and distributing statistics, organizing materials and coordinating activities for the strategic planning conferences, and preparing Board reports. Several Department Heads wanted more, with one stating, "The County should have someone in-house who can provide strategic planning expertise and analysis to all Clusters," and another remarking that, "The County

spends a lot of time collecting statistics, but not enough analysis of whether something is critical or not."

4. **The Commission found that there is a need for performance indicators and outcome measures.**

   4.1. All the DCEOs indicated that they needed more frequent progress reports on implementation, particularly in light of comments made by Supervisors as the Board approved the current Strategic Plan. The DCEOs have begun to collect baseline data and develop a series of performance measures within their Clusters. One DCEO remarked, "The challenge is to go back to the plan to make sure it is being measured with feedback." Two Department Heads shared this perspective, stating that "we are struggling with performance measures, it is a big challenge; we need it," and "the issue of efficiency is not easy but necessary; we also need measures for effectiveness, we don't do enough of that."

   4.2. Nearly all Department Heads cited Performance Counts! [11]as a great concept, but very difficult to use in practice. As observed by two Department Heads, "With regards to Performance Counts!, the raw numbers and data are there, the potential exists, but I wish someone could do an analysis of the data" and "Performance Counts! is a great concept, but very frustrating."

   Several Department Heads were extremely critical, implying that it is non-value added and should be discontinued. Two Department Heads offered the following comments, "Performance Counts! is theoretically tied to the budget, but nobody looks at it nor is it tied to the budget in reality. There is no linkage, it is non-value added," and "Is anybody looking at Performance Counts!?"

V. RECOMMENDATIONS

Two years ago, the County moved from a Department-centric governance structure to a strong-CEO model with Departments organized in Clusters. As stated in the findings, the Clusters have become the center for strategic discussions and decision making. Within each Cluster, the DCEO and Department Heads were able to share their understanding of the external and internal environments, conduct a situational analysis, and craft a collaborative strategic agenda for the next several years.

Also as noted in the findings, there have been significant intangible benefits from this process. There is increased cohesion among Department Heads, stronger commitment to collaboration and collective strategic action, and widespread appreciation of others' challenges.

The commission found that the strategic planning process has proven to be valuable and determined that the County has made solid year one progress on strategic planning

[11] Performance Counts! is the performance measurement framework for reporting and tracking the results of the services delivered by the County; it is a key element of the County Strategic Plan since 2002 and was implemented by all County Departments with the 2004 Proposed Budget. It is overseen by the Office of Strategic Planning and Special Projects.

under the new governance structure. To ensure continued progress, there are clearly areas in which the County can improve, and areas that must continue adjusting to mesh effectively with the County's new governance model.

Recommendation 1: That the Board consider directing the CEO to augment the current Strategic Plan to identify key strategic priorities.

As noted in this report, the recently adopted strategic plan is a combination of five Cluster plans with no identifiable priorities; all strategies and objectives appeared to be equally important. The Strategic Plan should identify and respond to the most essential policy questions and strategic issues facing the County.

Recommendation 2: That the Board consider establishing a structure in conjunction with the CEO for providing early Board Office input into the strategy formulation process.

The Commission found that the County's Strategic Plan "bubbled up" from the Departmental level. That is, Departmental level concerns dominated the discussions at the Cluster level, and the output from the Cluster discussions, although it included input from Board policy deputies, was driven primarily by Department Heads.

Recommendation 3: That the Board consider directing the CEO to work with the Board Offices to establish a format for linking strategy formulation, MAPP goal setting, and budget determination

Budgets and Department Head MAPP goals have key significance for the implementation of strategies and objectives. Currently, the strategic plan formulation process, budget deliberations, and the setting of MAPP goals are mostly unconnected processes.

Recommendation 4: That the Board consider directing the CEO to establish methods of effectively measuring and reporting on Strategic Plan performance outcomes.

There is a need to develop a meaningful set of measures, so that the Board can assess progress on implementation of the Strategic Plan.

Closely related, the Commission found that the implementation of Performance Counts! appears to have been ineffective.

Recommendation 5: That the Board consider directing the CEO to institute a process through which Departments share best practices.

In the course of our interviews, the Commission was greatly impressed by the successes reported by many Departments in their strategic planning efforts. Departments could benefit greatly from having access to a compendium of best practices.

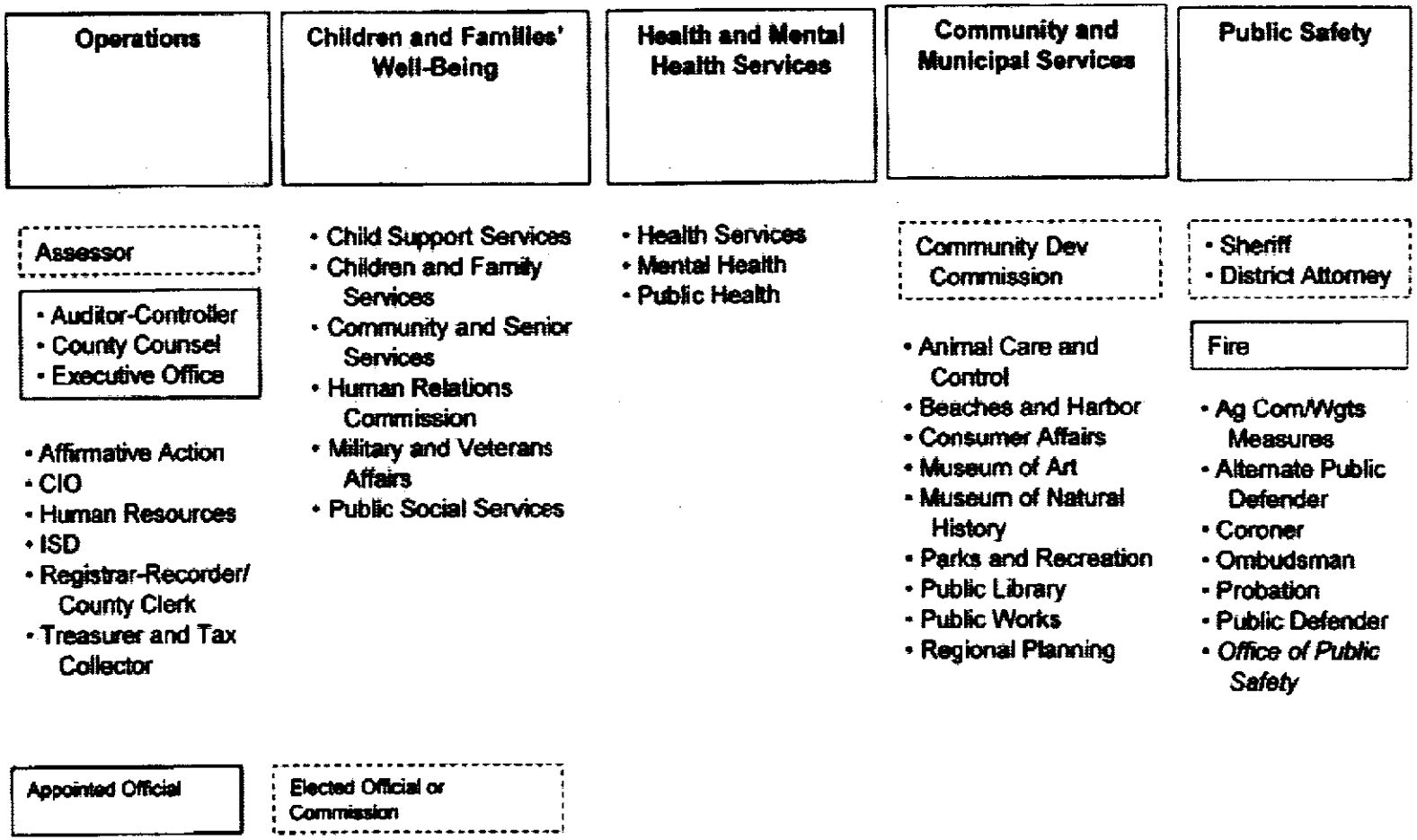
Recommendation 6: That the Board consider directing the CEO to review the effect of the centralized County Strategic Plan on Departmental level strategic planning.

With the increased prominence given to the County Strategic Plan, there is a need to examine the role of Department-specific Strategic Plans particularly when Department-specific priorities may not be addressed in the County-wide Plan.

VI. ACKNOWLEDGEMENT

The Commission gratefully acknowledges the substantial contributions of our respondents. These interviewees were generous with their time and candor. Their help has been instrumental in our efforts to craft recommendations that we hope will improve County government.

County Department Goal Clusters



Appendix 1a
County Department Clusters

Appendix 1b
Department Head Survey

1. **Which of the following best describes strategic planning efforts in your Department? (Please check one only)**

   ☐ We have initiated strategic planning, but not completed it at this point. (Still underway)

   When will this first plan be completed? _____

   ☐ We have completed one Strategic Planning effort.

   When was this plan completed? _____

   ☐ We have completed multiple strategic planning efforts in a continuing cycle of revalidation, refinement, and updating.

   When was your last plan completed? _____

   ☐ We do not engage in strategic planning. If you check this box, please proceed to question #7

2. **Have your strategic planning efforts produced a formal document presenting your Department's Strategic Plan? (Please check one only)**

   ☐ Yes.

   ☐ No.

   ☐ No, but this type of document is now being completed.

3. **To what extent are you satisfied with the implementation and achievement of your strategic goals and objectives to date? (Please check one only)**

   ☐ A very great extent

   ☐ A great extent

   ☐ To some extent

   ☐ To a little extent

   ☐ To no extent

4. **How well do the following statements describe strategic planning participation in your Department?**

   Please circle the most appropriate response for each item below.

   SD=*Strongly Disagree* **D**=*Disagree* **A**=*Agree* **SA**=*Strongly Agree*

   - The CEO's Office has been centrally involved in the development of our Strategic Plan. **SD D A SA**
   - The Board Offices has been centrally involved in the development of our Strategic Plan. **SD D A SA**
   - The Chief Deputy and other senior managers have been centrally involved in the development of our Strategic Plan. **SD D A SA**
   - Middle managers and supervisors have been centrally involved in the development of our Strategic Plan **SD D A SA**

- Citizens and other external stakeholders have been centrally involved in the development of our Strategic Plan. **SD D A SA**

- Lower-level employees have been centrally involved in the development of our Strategic Plan. **SD D A SA**

5. **Overall, have your strategic planning efforts been worth the time and expense**
   Yes _____ No _____ Not Sure _____

   Please feel free to comment on this item
   _____
   _____

---

6. **Did you use an external consultant to develop your Strategic Plan?**

   Yes _____ No _____

   If yes, please state the name of the consultant(s) or firm _____

7. **To what extent have you been involved in the development of the County Strategic Plan by the CEO's Office? (Please check only)**

   ☐ To a very great extent

   ☐ To a great extent

   ☐ To some extent

   ☐ To a little extent

   ☐ To no extent

8. **From your perspective, please indicate the absolute value of County-wide strategic planning? (Please check one only)**

   ☐ No value

   ☐ Little value

   ☐ Some value

   ☐ High value

   ☐ Extremely high value

9. **Please send us a copy of your most current Strategic Plan. This would be a great help to our research effort.**

   _____ Yes, it is in the mail.

   Send to: Edward Eng, Executive Director
   Citizen's Economy and Efficiency Commission
   Hall of Administration
   500 W. Temple Street, Room 163
   Los Angeles, CA 90012

   _____ Contact my office, and we can work out the details

Appendix 1c
Department Head Questionnaire

I. INTRODUCTION: VALUE-ADDED

Beginning in 1996, strategic planning has been put forth as a primary tool for guiding decision-making and allocating resources at both the County and Department levels.

1. From your perspective, assess the value of strategic planning (a) at the County level, and (b) within your Department.

2. How has strategic planning evolved from its initial introduction by CAO David Jansen (1996-2007) to its continuation by CEO/Bill Fujioka (2007-present)?

3. What single change could add value to strategic planning (a) at the County level? (b) at the Department level?

II. STRATEGY FORMULATION

A. County Level

4. Overall, do you believe that the right sets of strategic issues were identified? Please elaborate.

B. Department Level

5. Can you describe the overall process used for the development of your Department's Strategic Plan?

6. (a) What have been the primary benefits of this approach? (b) What have been the primary drawbacks of this approach? (c) If you could make one change to improve the formulation process, what would it be?

III. STRATEGY IMPLEMENTATION

A. County Level

7. What is the role of the CEO/DCEO in implementing the County's Strategic Plan?

8. How are implementation activities coordinated within your Cluster? Across Clusters? Across Board Offices?

B. Department Level

9. (a) What "factors" enable implementation of strategic initiatives for your Department? (b) What "barriers" inhibit implementation?

10. How would you describe the alignment between the County's Strategic Plan and your Department's Strategic Plan?

IV. MONITORING & EVALUATION

11. Are you aware of how the County monitors progress of its Strategic Plan?

12. How does your Department monitor progress on the implementation of the Strategic Plan? What are the metrics used to measure progress and performance?

13. Does the CEO's office require you to formally report progress on your Department's Strategic Plan outcomes? If yes, can you describe the process/type of interactions?

V. BUDGET AND PERFORMANCE LINKAGES

14. Is your Department's Strategic Plan an important component of your County budget discussions? If yes, please elaborate.

15. Do you use your Department's Strategic Plan in allocating internal resources? Please elaborate.

16. Is your Department's Strategic Plan an important component of your performance evaluation by the CEO? If yes, please elaborate.

17. Are your Management Appraisal Performance Plan (MAPP) goals tied to the County and/or your Department's Strategic Plans? If yes, please elaborate.

EFFECTIVENESS

18. Have you used the County's Strategic Plan when discussing priorities, decisions, and specific recommendations to internal and external stakeholders, including the Board?

19. Do you have any "Best Practices" that should be shared with other County Departments?

FOR DEPARTMENTS THAT DO NOT HAVE A STRATEGIC PLAN

1. Please complete all questions related to the County Strategic Plan.

2. Why have you decided not to engage in strategic planning?

3. What method(s) do you use to address longer-term strategic issues?

Appendix 1d
DCEO Questionnaire

STRATEGY FORMULATION

1. Can you describe the role(s) that each of the following have played in the development of the current "draft" County Strategic Plan?
    a. CEO
    b. Board offices/deputies
    c. DCEOs (specific focus on self)
    d. Department Heads (specific focus on your Cluster)

2. Can you describe the strategy formulation process for the County's Strategic Plan? Is the County's Strategic Plan an aggregate of individual Cluster Strategic Plans? Is there a formal integration process across Clusters? If yes, who is involved?

3. Work on the County's Strategic Plan has been on-going for approximately one year – why?

4. Is it a requirement that all the Departments within your Cluster have a Strategic Plan? Can you elaborate on your role and the CEO's role in formulating and reviewing Department Strategic Plans?

STRATEGY EXECUTION

5. What is your role in the implementation of the County Strategic Plan? What is the CEO's role?

6. What is your role in the implementation of your Cluster Departments' Strategic Plans?

MONITORING & REPORTING

7. Have metrics been developed to monitor/track progress on the County Strategic Plan? If yes, can you describe the process used to develop these metrics, and monitor and report progress?

8. Do you require your Cluster Departments to report progress on their Strategic Plans? If yes, is there a formal process for sharing Department Strategic Plans and progress with other Departments, DCEOs, & CEO?

PERFORMANCE EVALUATION

9. How are the outcomes of the County Strategic Plan and Department Strategic Plans incorporated into the performance evaluation process for Department Heads?

LINKAGE TO BUDGET

10. What is the process for linking and allocating resources based on the County Strategic Plan? Based on Department Strategic Plans?

EFFECTIVENESS

11. How satisfied are you with the results of the County's strategic planning process and identified focus? Your Cluster Departments' Strategic Plans?

12. If you could make one change at the County level, what would it be? At the Department level?

FINAL QUESTION

13. From your perspective, how has strategic planning evolved from its initial introduction by CAO David Janssen (1996-2007) to its continuation under CEO Bill Fujioka (2007-present)?

Appendix 1e
CEO Questionnaire

PRELIMINARY QUESTION

When you first became CEO, in many of your initial introductory speeches to County employees, you stated that an appropriate Strategic Plan did not need to exceed 5-6 pages and that the existing 15-20 page document was to long. The current plan is approximately 70 pages – what changed your thinking?

STRATEGY FORMULATION

1. Can you share with us your perception and view of strategic planning's role in the County of Los Angeles?
2. Could you describe the role of the Board, DCEOs, and Department Heads in the development of the Strategic Plan?
3. Can you describe the responsibilities of the CEO's Office of Strategic Planning (Martin Zimmerman)?
4. One Supervisor noted that the Strategic Plan was more like a work plan – Both Ellen and you agreed. Can you elaborate?
5. Could you also elaborate on some of the successes, challenges, and learning during the strategy development process?

STRATEGY EXECUTION

6. Do you believe that your decision-making capacity has improved because of the planning process?
7. Do you believe that there are clear expectations, direction, and understanding from the County's Strategic Plan outcomes?
8. What are the decision filters for prioritizing the many strategies and objectives in the approved County's Strategic Plan?

PERFORMANCE MONITORING AND EVALUATION

9. Several Supervisors asked for more frequent reports regarding progress on the plan Have you develop key metrics for the County's Strategic Plan? What is the process for tracking and reporting the progress of their plan, both outputs and outcomes?
10. How are Department Head performance metrics tied to Strategic Plan outcomes, and/or MAPP goals?

11. Do you and/or the DCEOs review Department Strategic Plans?

LINKAGE TO BUDGET

12. Do you use County Strategic Plan outcomes as a basis for approving budget requests and allocating resources? Do you use Department Strategic Plan outcomes as a basis for approving budget requests and allocating resources? If so, how?

EFFECTIVENESS

13. How satisfied are you with the results of the County's Strategic Plan? Do you envision changes to the process during the next year or two? Are their institutionalized barriers that need to be overcome to improve the process?

Appendix 1f
Board Chief Deputy Questionnaire

STRATEGY FORMULATION

1. What is your view of strategic planning in the County of Los Angeles?
2. Could you describe the role that the Board Offices played in developing the current County "draft" Strategic Plan? From your perspective, what role did each of the following play in the development process?
    a. CEO
    b. DCEOs
    c. Department Heads

3. Work on the County's revised/updated Strategic Plan has been on-going for over one year – why?

STRATEGY EXECUTION

4. What role do you envision the Board playing in the implementation of the County's Strategic Plan?

5. Overall, is there clarity regarding the role responsibilities of the CEO, and DCEOs during implementation? What are your expectations?

PERFORMANCE MONITORING AND EVALUATION

6. Has your office received key metrics for the County's Strategic Plan? Is there a clear process for tracking and reporting the progress of the plan's outcomes or initiatives? Are you aware of any formal process for sharing the current Strategic Plans' progress with Board offices?

LINKAGE TO BUDGET

7. In the past, have you used the County's Strategic Plan outcomes as a basis for your budget discussions? If yes, how? If not, do you envision a process for linking and allocating resources based on the County's Strategic Plan?

EFFECTIVENESS

8. How satisfied are you with the results of the County's strategic planning process, decisions, and outcomes? What is working, what is not, and what needs to change?

9. From your perspective, under the new CEO design, are Department Heads receiving clearer direction? Is there better alignment between their Department goals and overall County goals?

GOVERNANCE

10. Have the boundaries with the DCEOs and CEO's office been clear during the development of the Strategic Plan?

FINAL QUESTION

11. From your perspective, how has strategic planning evolved from its initial introduction by CAO David Janssen (1996-2007) to its continuation under CEO Bill Fujioka (2007-present)?

Appendix 1g
Employee On-line Survey

STRATEGIC PLANNING SURVEY

Title: _____ **Department:** _____

Circle the most appropriate response for each item.

1=*No Extent* **2**=*Little Extent* **3**=*Some Extent* **4**=*Great Extent* **5**=*Very Great Extent* **6**=*Not Applicable*

1.	To what extent are you familiar with your Department's Strategic Plan?	1	2	3	4	5	6
2.	To what extent did you play a role in the development of your Department's Strategic Plan?	1	2	3	4	5	6
3.	To what extent does your Department's Strategic Plan provide you with a better understanding of how your job contributes to the Department's success?	1	2	3	4	5	6
4.	To what extent have you used your Department's Strategic Plan to explain Departmental priorities and resource allocations to others?	1	2	3	4	5	6
5.	To what extent has your Department's Strategic Plan lead to change and new initiatives?	1	2	3	4	5	6
6.	To what extent do you receive progress updates on your Department's Strategic Plan?	1	2	3	4	5	6
7.	To what extent are you involved in the implementation of specific components of your Department's Strategic Plan?	1	2	3	4	5	6
8.	To what extent have you discussed your Department's Strategic Plan with your immediate supervisor?	1	2	3	4	5	6
9.	To what extent have your yearly goals/objectives been linked to your Department's Strategic Plan?	1	2	3	4	5	6
10.	To what extent does your Department's Strategic Plan provide direction for your day-to-day activities?	1	2	3	4	5	6
11.	To what extent have you used your Department's Strategic Plan to initiate change in your area of responsibility?	1	2	3	4	5	6
12.	To what extent are you satisfied that your Department's strategic planning efforts have been worth the time, effort, and expenses?	1	2	3	4	5	6

Please feel free to add comments

_____
_____
_____
_____

Appendix 1h
Summary Tables from Employee On-Line Surveys

TABLE 1 Employees' Familiarity with their Departments' Strategic Plans	
Executive Management/Management Level that indicated they are familiar	88%
Supervisors indicated that indicated they are familiar	76%
Management Staff Levels that indicated they are familiar	70%
Professionals and their supervisors that indicated they are familiar	62%
Non-represented employees that indicated they are familiar	61%

TABLE 2 Provides Understanding of how Job Contributes	
Executive Management/Management Level that indicated the Department's Strategic Plan provides understanding of how job contributes	81%
Supervisors that indicated the Department's Strategic Plan provides understanding of how job contributes	72%
Management Staff Levels that indicated the Department's Strategic Plan provides understanding of how job contributes	65%
Professionals and their supervisors that indicated the Department's Strategic Plan provides understanding of how job contributes	61%
Non-represented employees that indicated the Department's Strategic Plan provides understanding of how job contributes	55%

TABLE 3 Department's Strategic Plan Used to Explain Priorities and Resource Allocations	
Executive Management/Management Level that indicated the Department's Strategic Plan was used to explain priorities and resource allocations	67%
Supervisors that indicated the Department's Strategic Plan was used to explain priorities and resource allocations	60%
Management Staff Levels that indicated the Department's Strategic Plan was used to explain priorities and resource allocations	49%
Professionals and their supervisors that indicated the Department's Strategic Plan was used to explain priorities and resource allocations	45%
Non-represented employees that indicated the Department's Strategic Plan was used to explain priorities and resource allocations	40%

TABLE 4 Department's Strategic Plan Provides Direction for Day-to-Day Activities	
Executive Management/Management Level that indicated the Department's Strategic Plan provides direction for day-to-day activities	65%
Supervisors that indicated the Department's Strategic Plan provides direction for day-to-day activities	53%
Management Staff Levels that indicated the Department's Strategic Plan provides direction for day-to-day activities	49%
Professionals and their supervisors that indicated the Department's Strategic Plan provides direction for day-to-day activities	43%
Non-represented employees that indicated the Department's Strategic Plan provides direction for day-to-day activities	49%

TABLE 5 Department's Strategic Plan Leads to Change and New Initiatives	
Executive Management/Management Level that indicated the Department's Strategic Plan leads to change and new initiatives	77%
Supervisors that indicated the Department's Strategic Plan leads to change and new initiatives	68%
Management Staff Levels that indicated the Department's Strategic Plan leads to change and new initiatives	50%
Professionals and their supervisors that indicated the Department's Strategic Plan leads to change and new initiatives	55%
Non-represented employees that indicated the Department's Strategic Plan leads to change and new initiatives	60%